

**DUTY STATEMENT****SHADED AREA TO REFLECT RECLASS POSITION NUMBER ONLY**

		RPA- <b>11-0063</b>	EFFECTIVE DATE:
NAME OF AGENCY California Gambling Control Commission (Commission)		POSITION NUMBER (Agency - Unit - Class - Serial) 293-525-4160-001	
UNIT NAME AND CITY LOCATED		CLASS TITLE Staff Management Auditor	
WORKING DAYS AND WORKING HOURS Monday through Friday 8:00 a.m. to 5:00 p.m.		SPECIFIC LOCATION ASSIGNED TO Sacramento	
PROPOSED INCUMBENT (If known)		CURRENT POSITION NUMBER (Agency - Unit - Class - Serial) 293-525-4160-001	
YOU ARE A VALUED MEMBER OF THE DEPARTMENT'S TEAM. YOU ARE EXPECTED TO WORK COOPERATIVELY WITH TEAM MEMBERS AND OTHERS TO ENABLE THE DEPARTMENT TO PROVIDE THE HIGHEST LEVEL OF SERVICE POSSIBLE. YOUR CREATIVITY AND PRODUCTIVITY ARE ENCOURAGED. YOUR EFFORTS TO TREAT OTHERS FAIRLY, HONESTLY AND WITH RESPECT ARE IMPORTANT TO EVERYONE WHO WORKS WITH YOU.			
BRIEFLY (1 or 2 sentences) DESCRIBE THE POSITION'S ORGANIZATIONAL SETTING AND MAJOR FUNCTIONS Under the general direction of the Supervising Management Auditor, the incumbent supervises a small team of auditors who are responsible for performing audit and review activities related to several types of fiscal, operations, and administrative audits, and minimum internal control standards (MICS) reviews under the California Tribal-State Gaming Compacts (Compacts), and the Commission's laws, rules and regulations (Laws). These audits are conducted to ensure compliance with the Compacts and Laws related to the Special Distribution Fund and/or the General Fund, eligibility for distributions from the Revenue Sharing Trust Fund, commercial operations (12-month rule and annual device counts) and MICS reviews.			
% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. (Use additional sheet if necessary)		
40%	Coaches and mentors audit staff in pre-audit planning activities, field auditing and review activities, conducted by audit staff. Attends all entrance and exit conferences different types of audits to personally observe staff in the conduct of field auditing activities. Participates annually as an audit team member on at least two audits/reviews and the post audit/review report preparation activities		
20%	Conducts detailed reviews of audit reports and audit work papers submitted by audit staff to ensure the readability, grammatical correctness, and accuracy of the audit report's contents. Reviews working papers to ensure that the methodologies used are consistent with the audit program standards, verifies that audit schedules and narratives are complete, and ensures that audit findings are properly supported and explained in the audit report.		
15%	<p>As a member of the staff management auditor team, and in conjunction with other staff management audit team members, performs the following activities:</p> <ul style="list-style-type: none"> <li>➤ Shares his or her expertise and observations to improve the overall operations of the audit function;</li> <li>➤ Develops and implements an annual auditor training plan to ensure that all audit staff receives at least 24 hours of in-house, in-service and out-service gaming-related training;</li> <li>➤ Consistently applies operating procedures and standards for all audit staff to ensure that staff of each audit team are being dealt with fairly and similarly;</li> <li>➤ Identifies performance expectations for audit staff;</li> <li>➤ Develops and maintains audit tools, i.e. checklists that improve the quality and consistency of the audit conducted by the Tribal Audit Program;</li> <li>➤ Maintains and revises, as necessary, the Audit Manual to ensure that the manual is current and usable by all new and current audit staff, and ensures that audit team members are apprised of changes;</li> <li>➤ As requested by the Tribal Audit Program Manager, assists with the development and preparation of the program's annual audit plan; and</li> </ul>		

% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. (Use additional sheet if necessary)
	<ul style="list-style-type: none"> <li>➤ As requested by the Tribal Audit Program Manager, drafts and/or reviews proposed legislation or regulations governing Tribal gaming and manufacturers and distributors of gambling equipment to improve the Commission's audit program or ascertain the impact on the audit program and its workload, respectively.</li> </ul>
15%	<p>As a supervisor of the audit teams assigned to them, performs the following activities:</p> <ul style="list-style-type: none"> <li>➤ Conveys performance expectations to his or her audit teams; and monitors audit teams' as well as individual auditor's performance to ascertain whether they meet performance expectations;</li> <li>➤ Instructs new employees, including on-the-job-training, in specific tasks and job techniques and makes written instructions and reference materials available;</li> <li>➤ Distributes, balances and adjusts work among assigned employees;</li> <li>➤ Ensures deadlines and milestones are met. Discusses problems and backlog conditions with "peer" team members, and reports problems to the Tribal Audit Program Manager for assistance when issues cannot be resolved at their level;</li> <li>➤ Reviews the Summary and Review Reports for each team member and/or LIS (license information system and audit tracking database) data to ascertain whether team members are providing the audit hour detail required and whether they are performing efficiently and within the "norms" performed by other team members of the Tribal Audit Program;</li> <li>➤ Estimates and reports expected time of completion of work, maintains records of work done and time spent, and prepares production reports as necessary;</li> <li>➤ Monitors working conditions (i.e. ventilation, lighting, safety, noise levels, temperature etc.);</li> <li>➤ Hears and resolves concerns and complaints from employees; gives advice, counsel, or instruction to individual employees on both work and administrative matters; effects minor disciplinary measures, such as warnings and reprimands, and recommends other actions in more serious cases;</li> <li>➤ Controls attendance and leave usage, including the written approval/disapproval of sick and annual leave and vacation schedules;</li> <li>➤ Ensures adherence to travel policies and procedures and safety practices.</li> <li>➤ Provides feedback orally and, in writing, to the audit team after "peer review" activities are completed, noting exceptional performance as well as areas that need improvement;</li> <li>➤ Provides feedback to each audit team member regarding his or her performance, noting exceptional performance as well as areas that need improvement;</li> <li>➤ Identifies developmental and training needs of employees, and either provides or arranges for appropriate training; and</li> <li>➤ Provides formal feedback through probationary reports and/or Individual Development Plans and conveys expectations to the employee via written and verbal communication/direction.</li> </ul>
15%	<p>As a member of the staff management auditor team, when recruiting for new audit team members, and in conjunction with other staff management audit team members, performs the following activities:</p> <ul style="list-style-type: none"> <li>➤ Reviews the current strengths and weaknesses, knowledge, skills and abilities of current team members on all teams to ascertain whether additional "desirable qualifications" should be included in the recruitment and screening of new candidates;</li> <li>➤ Prepares the necessary paperwork to recruit new employees, e.g. the RPA and job opportunity bulletin; statement of qualifications, etc.;</li> <li>➤ Prepares application screening criteria and ensures that educational and experience requirements are met;</li> <li>➤ Ensures that skills testing is performed by the Human Resources Office;</li> <li>➤ Develops "patterned" interview questions and conducts interviews;</li> </ul>

% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. <i>(Use additional sheet if necessary)</i>
	<ul style="list-style-type: none"> <li>➤ Performs reference checks; and, if appropriate, ensures that OPF's are reviewed;</li> <li>➤ Ensures that fingerprint clearance is obtained for the selected candidate and that letters are sent to candidates not selected;</li> <li>➤ Prepares necessary paperwork and orientation materials for the new employee's first week of employment; and</li> <li>➤ Determines material, equipment, supplies, and facilities needed, and makes appropriate arrangements for same.</li> </ul>
5%	<p>Conducts research of various accounting promulgations to stay abreast of accounting standards as they relate to the preparation of financial statements, casino operations and minimum internal controls. Advises management of any trends that are observed as audits are conducted, and may affect future audit planning, methods and actions.</p>
	<p><b>KNOWLEDGE, SKILLS AND ABILITIES:</b></p> <p><b>Knowledge of:</b></p> <ul style="list-style-type: none"> <li>• Organizational management in the public and private sector;</li> <li>• Principles and techniques of personnel management and supervision;</li> <li>• Group leadership techniques;</li> <li>• Elementary statistics;</li> <li>• Audit procedures, including planning, techniques, test and sampling methods involved in conducting audits;</li> <li>• Accounting and auditing standards established by AICPA, GAAP and GAAS related to gaming operations;</li> <li>• Applicable federal, state and local laws, rules and regulations, and Tribal Compacts governing Tribal gaming in California;</li> <li>• Relevant electronic accounting systems software applications; and</li> <li>• Relevant computer business software applications, e.g. Microsoft Office software applications.</li> </ul> <p><b>Ability to:</b></p> <ul style="list-style-type: none"> <li>• Plan, organize, and direct the work of a small group of auditors engaged in audit activities, and assume responsibility for complex audit studies. ("Understanding of and effectiveness in carrying out State and departmental equal employment opportunity and affirmative action policies.");</li> <li>• Model high standards of honesty, integrity, trust and ethical behavior;</li> <li>• Handle highly confidential information;</li> <li>• Gain an understanding and knowledge of leadership, coaching and mentoring methods to effectively motivate and manage staff;</li> <li>• Make effective presentations;</li> <li>• Communicate effectively, orally and in writing, using a variety of styles and techniques appropriate to the audience;</li> <li>• Act in a tactful and politically sensitive manner; interact professionally with various levels of Tribal and State leadership, representatives, employees and the general public;</li> <li>• Understand, interpret, and apply laws, rules, regulations, policies, procedures, Tribal Compacts and relevant gaming audit standards;</li> <li>• Determine audit objectives and design audit plans and programs to achieve audit goals;</li> <li>• Exercise judgment and creativity in making decisions;</li> <li>• Perform statistical and financial analyses;</li> <li>• Compile and analyze complex data;</li> <li>• Analyze situations, identify problems, and recommend solutions;</li> <li>• Prepare comprehensive reports and correspondence; and</li> <li>• Operate computers, computer software, smart phones, and general office equipment.</li> </ul>

% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. (Use additional sheet if necessary)	
	<p><b>Special Personal Characteristics:</b></p> <ul style="list-style-type: none"> <li>• Ability to perform all of the essential functions of the duties described in the attached duty statement;</li> <li>• Ability and willingness to travel and work away from the headquarters office which could require extended hours of work and/or overnight or multiple-day trips on a continuous basis;</li> <li>• Ability to obtain a fidelity bond;</li> <li>• Possession of a valid California's driver's license;</li> <li>• Ability to obtain a fingerprint clearance; and</li> <li>• Agreement to not gamble at any gaming establishment over which the Commission has regulatory or oversight responsibility.</li> <li>• Ability to work independently and in team environment.</li> </ul> <p><b>WORK ENVIRONMENT, PHYSICAL OR MENTAL ABILITIES:</b>  Audits take place in casinos on sovereign Tribal land where smoking may be permitted. Some audit procedures may require availability during late night or early morning hours to observe casino drop and count procedures. These procedures may also require that you work on weekends. Travel by plane, train or car is required. Bending and stooping to retrieve files, sitting and standing consistent with office work, and occasional light lifting of no more than 20 pounds is required. <b>There may be some out-of-state travel for training purposes. This position requires up to 85% travel and No Flex schedule.</b></p>	
<b>SUPERVISOR'S STATEMENT: I HAVE DISCUSSED THE DUTIES OF THE POSITION WITH THE EMPLOYEE</b>		
SUPERVISOR'S NAME (Print)	SUPERVISOR'S SIGNATURE	DATE
<b>EMPLOYEE'S STATEMENT: I HAVE DISCUSSED WITH MY SUPERVISOR THE DUTIES OF THE POSITION AND HAVE RECEIVED A COPY OF THE DUTY STATEMENT</b>		
The statements contained in this duty statement reflect general details as necessary to describe the principal functions of this job. It should not be considered an all-inclusive listing of work requirements. Individuals may perform other duties as assigned, including work in other functional areas to cover absence of relief, to equalize peak work periods or otherwise balance the workload.		
EMPLOYEE'S NAME (Print)	EMPLOYEE'S SIGNATURE	DATE